

This Page Is Inserted by IFW Operations  
and is not a part of the Official Record

## **BEST AVAILABLE IMAGES**

Defective images within this document are accurate representations of the original documents submitted by the applicant.

Defects in the images may include (but are not limited to):

- BLACK BORDERS
- TEXT CUT OFF AT TOP, BOTTOM OR SIDES
- FADED TEXT
- ILLEGIBLE TEXT
- SKEWED/SLANTED IMAGES
- COLORED PHOTOS
- BLACK OR VERY BLACK AND WHITE DARK PHOTOS
- GRAY SCALE DOCUMENTS

**IMAGES ARE BEST AVAILABLE COPY.**

**As rescanning documents *will not* correct images,  
please do not report the images to the  
Image Problem Mailbox.**

PCT

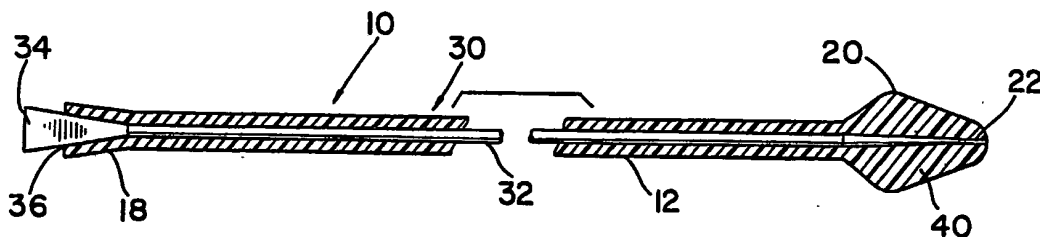
WORLD INTELLECTUAL PROPERTY ORGANIZATION  
International Bureau



INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

<b>(51) International Patent Classification <sup>5</sup> :</b> <b>A61M 29/00, 25/01</b>	<b>A1</b>	<b>(11) International Publication Number:</b> <b>WO 91/19528</b> <b>(43) International Publication Date:</b> 26 December 1991 (26.12.91)
<b>(21) International Application Number:</b> PCT/US91/03509 <b>(22) International Filing Date:</b> 17 May 1991 (17.05.91) <b>(30) Priority data:</b> 535,932 11 June 1990 (11.06.90) US <b>(71) Applicant:</b> SCHNEIDER (USA) INC. [US/US]; 5905 Nathan Lane, Plymouth, MN 55442 (US). <b>(72) Inventor:</b> SHOCKEY, Rick, L. ; 3890 Westbury Drive, Eagan, MN 55123 (US). <b>(74) Agents:</b> RICHARDSON, Peter, C. et al.; Pfizer Inc., 235 East 42nd Street, New York, NY 10017 (US).		<b>(81) Designated States:</b> AT (European patent), AU, BE (European patent), CA, CH (European patent), DE, DE (Utility model), DE (European patent), DK (European patent), ES (European patent), FR (European patent), GB (European patent), GR (European patent), IT (European patent), JP, LU (European patent), NL (European patent), SE (European patent).  <b>Published</b> <i>With international search report.</i>

**(54) Title:** TRACKING GUIDEWIRE



**(57) Abstract**

A guidewire and guidewire assembly (10) for placement within a blood vessel for penetrating an occlusion therein. The guidewire comprises a length of flexible wire (12) having a concentric lumen (14) running its entire length and a distal end portion (20) having an arcuate tip (22) and a diameter greater than that of the wire immediately proximal thereto. The guidewire assembly comprises the guidewire described along with a flexible stylet (32) substantially the same length as the flexible wire and disposed within the lumen of the wire. In operation, the distal end portion is positioned in the blood vessel against an occlusion, and a dottering action is thereafter provided whereby the distal end portion repeatedly impinges on the occlusion until penetration of the occlusion occurs.

**FOR THE PURPOSES OF INFORMATION ONLY**

Codes used to identify States party to the PCT on the front pages of pamphlets publishing international applications under the PCT.

AT	Austria	ES	Spain	MG	Madagascar
AU	Australia	FI	Finland	ML	Mali
BB	Barbados	FR	France	MN	Mongolia
BE	Belgium	GA	Gabon	MR	Mauritania
BF	Burkina Faso	GB	United Kingdom	MW	Malawi
BG	Bulgaria	GN	Guinea	NL	Netherlands
BJ	Benin	GR	Greece	NO	Norway
BR	Brazil	HU	Hungary	PL	Poland
CA	Canada	IT	Italy	RO	Romania
CF	Central African Republic	JP	Japan	SD	Sudan
CG	Congo	KP	Democratic People's Republic of Korea	SE	Sweden
CH	Switzerland	KR	Republic of Korea	SN	Senegal
CI	Côte d'Ivoire	LI	Liechtenstein	SU	Soviet Union
CM	Cameroon	LK	Sri Lanka	TD	Chad
CS	Czechoslovakia	LU	Luxembourg	TC	Togo
DE	Germany	MC	Monaco	US	United States of America
DK	Denmark				

-1-

## TRACKING GUIDEWIRE

Technical Field

This invention relates generally to a tracking guidewire, and in particular to an occlusion-penetrable  
5 guidewire having a lumen throughout its entire length into which a stylet can be inserted, and having a distal end portion with an arcuate tip and a diameter greater than that of the immediately proximal wire.

Background Art

10 Vessel entry for treatment of certain untoward health conditions is a common practice. Such entry can include insertion into a blood vessel of a guidewire whose distal end is expected to reach a certain site within the body and have utility thereafter as  
15 required. Many times, however, a blood vessel may be completely or almost completely occluded, thereby rendering it substantially impossible to advance a guidewire there beyond to a designated site without first employing a separate procedure to remove the  
20 occlusion.

It is therefore a primary object of the present invention to provide a guidewire having a lumen running its entire length and a distal end portion capable of penetrating a vascular occlusion. Another object of  
25 the present invention is to provide such a guidewire wherein the tip of the distal end portion is arcuate and the diameter of the distal end portion is greater than that of the immediately proximal wire. Yet another object of the present invention is to provide  
30 a guidewire assembly wherein a stylet can be removably inserted into the length of the guidewire lumen to thereby enhance guidewire structure. These and other objects will become apparent throughout the description which now follows.

-2-

Disclosure of Invention

The present invention is a guidewire for placement within a blood vessel for penetrating an occlusion in the vessel. The guidewire comprises a length of flexible wire having a concentric lumen running its entire length. At its proximal end the wire has a hub opening to the lumen, and at its distal end it has a distal end portion which has an arcuate tip and a diameter greater than the diameter of the wire immediately proximal thereto. The invention additionally includes a guidewire assembly which comprises the guidewire and a flexible stylet substantially the length of the wire for removable insertion into the lumen of the wire for substantially its entire length. Such stylet placement provides a greater stiffness and structural integrity to the guidewire.

Finally a method of penetrating an occlusion in a blood vessel comprises inserting the guidewire or guidewire assembly into an occluded blood vessel and positioning the arcuate tip of the distal end portion against the proximal wall of the occlusion. After such positioning, a dottering action is provided to the guidewire or guidewire assembly for a sufficient period of time whereby the repeated impingement upon the occlusion results in penetration thereof. Once the distal portion of the guidewire or guidewire assembly has passed through the occlusion, and the stylet has been withdrawn in the case of the guidewire assembly, a contrast medium can be injected into the lumen to confirm guidewire positioning within the vessel.

Brief Description of Drawings

Presently preferred embodiments of the invention are illustrated in the accompanying drawings in which:

-3-

Figure 1 is a side elevation view of a guidewire;  
Figure 2 is a side elevation view partially in section of a guidewire assembly;

Figure 3 is a side elevation view of a stylet;

5 Figure 4 is a side elevation view of a second embodiment of a distal end of a guidewire; and

Figure 5 is a side elevation view of a third embodiment of a distal end of a guidewire.

Modes for Carrying Out the Invention

10 Referring to Figure 1, a guidewire 10 is illustrated. The guidewire 10 comprises a length of flexible wire 12 having a concentric lumen 14 running the entire length of the wire 12 and a proximal end hub 18 which opens to the lumen 14. The opposite end of  
15 the wire 12 has a distal end portion 20 which has an arcuate tip 22 and a diameter greater than the diameter of the wire 12 immediately proximal to the end portion 20. The guidewire 10 can be conventionally constructed of metal core, and is preferably constructed of metal  
20 coils.

Figure 2 illustrates a guidewire assembly 30 comprising a guidewire 10, as shown in Figure 1, and a flexible stylet 32, as shown in Figure 3, disposed within the lumen 14 of the wire 12. The stylet 32 is  
25 substantially the length of the wire 12 and additionally has a proximal end member 34 whose shape is complimentary to the interior wall 36 of the hub 18. The hub 18 is provided with locking means such as conventional Luer locking threads which securely  
30 maintains the stylet 32 within the lumen 14, yet provides releasability for withdrawal of the stylet 32 as required. The stylet 32 can be constructed of metal or polymer core, and is preferably constructed of metal.

-4-

As earlier noted, the distal end portion 20 of the wire 12 has an arcuate tip 22 and has a diameter which is greater than that of the wire 12 immediately proximal thereto. Three non-limiting examples of preferred shapes of the end portion 20 are illustrated in Figures 1, 2, 4 and 5. Specifically, Figures 1 and 2 show an arrow shape 40; Figure 4 shows an elliptical shape 42; and Figure 5 illustrates a tear-drop shape 44. It is to be understood, of course, that shapes other than those illustrated can be employed as long as an arcuate tip is provided to thereby enhance physical intrusion of an occlusion. The various shapes of the respective distal end portions are attained in the manufacturing process which can include EDM machining and grinding.

In operation, the guidewire 10, and in particular its distal arcuate tip 22 and distal end portion 20, functions to penetrate an occlusion in a blood vessel. The user inserts the guidewire 10 into a blood vessel and positions the arcuate tip 22 against the proximal wall of an occlusion. Once placed, the guidewire 10 is subjected to a dottering action by the user to effectuate a repeated impinging action upon the occlusion by the distal end portion 20 for a period of time sufficient to penetrate the entire length of the occlusion and thereby permit continued travel of the guidewire 10 itself or of other apparatus. Should an occlusion exhibit a resistance too great to permit the guidewire 10 alone to penetrate, the stylet 32 is inserted into the length of the lumen 14 and locked into place. The inserted stylet 32 provides a greater stiffness and structure to the guidewire 10, thereby providing a more aggressive impingement action on the occlusion during dottering to accomplish penetration

-5-

thereof. Once the distal end portion 20 of the guidewire 10 is through the stenosis, the stylet 32 can be removed from the lumen 14 and a contrast medium can be injected into the lumen 14 to thereby confirm the true  
5 position of the distal end portion 20.

While an illustrative and presently preferred embodiment of the invention has been described in detail herein, it is to be understood that the inventive concepts may be otherwise variously embodied  
10 and employed and that the appended claims are intended to be construed to include such variations except insofar as limited by the prior art.



-6-

## CLAIMS

- 1) A guidewire assembly (10) for placement within a blood vessel for penetrating an occlusion therein, the guidewire assembly (10) comprising:
  - 5 a) a length of flexible wire (12) having a concentric lumen (14) running the entire length of the wire (12), with said wire (12) having a proximal end hub (18) opening to the lumen (14) and a distal end portion (20) having an arcuate tip (22) and a diameter  
10 greater than the diameter of the wire (14) immediately proximal thereto; and
  - b) a flexible stylet (32) substantially the length of the wire (12) and additionally having a proximal end member (34) complementarily shaped to the  
15 interior wall (36) of the hub (18), said stylet (32) having a diameter less than the diameter of the lumen (14) of the wire (12) and removably insertable within the lumen (14) substantially throughout the entire length of said lumen (14).
- 20 2) A guidewire assembly (10) as claimed in claim 1 and having in addition locking means disposed at the proximal end hub (18) opening of the wire (12) for releasably securing the proximal end member (34) of the stylet (32) within at least a portion of the hub (18).
- 25 3) A guidewire assembly (10) as claimed in claim 2 wherein the distal end portion (20) of the wire (12) is in the shape of an arrow (40).
- 4) A guidewire assembly (10) as claimed in claim 2 wherein the distal end portion (20) of the wire (12)  
30 is in the shape of an ellipse (42).
- 5) A guidewire assembly (10) as claimed in claim 2 wherein the distal end portion (20) of the wire (12) is in the shape of a tear drop (44).
- 6) A guidewire assembly (10) as claimed in claim

-7-

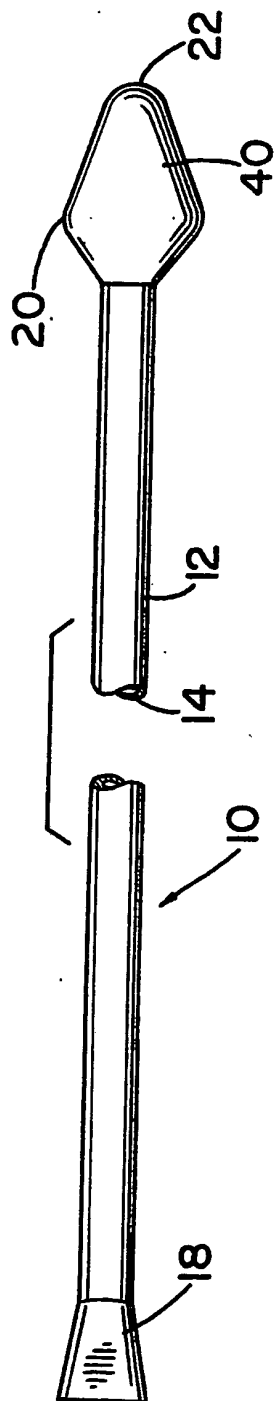
1 wherein the distal end portion (20) of the wire (12)  
is in the shape of an arrow (40).

7) A guidewire assembly (10) as claimed in claim  
1 wherein the distal end portion (20) of the wire (12)  
5 is in the shape of an ellipse (42).

8) A guidewire assembly (10) as claimed in claim  
1 wherein the distal end portion (20) of the wire (12)  
is in the shape of a tear drop (44).

1/2

FIG. 1.



SUBSTITUTE SHEET

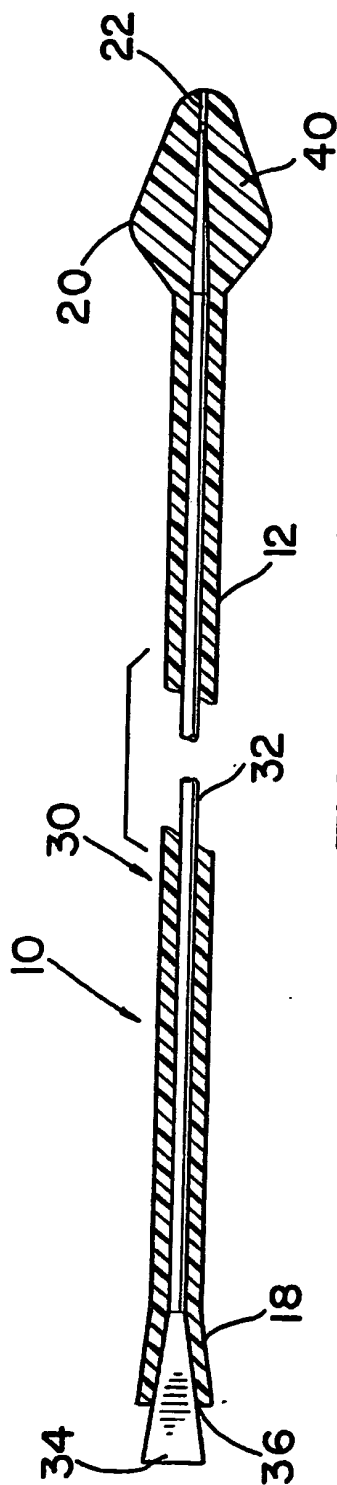


FIG. 2.

2/2

FIG. 3.

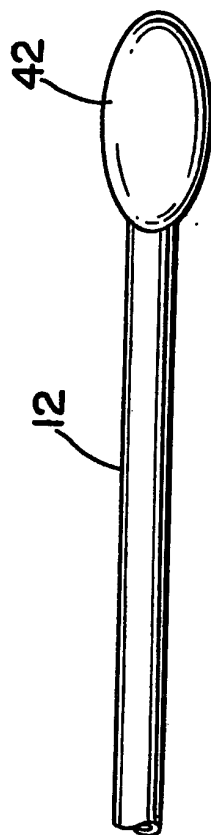
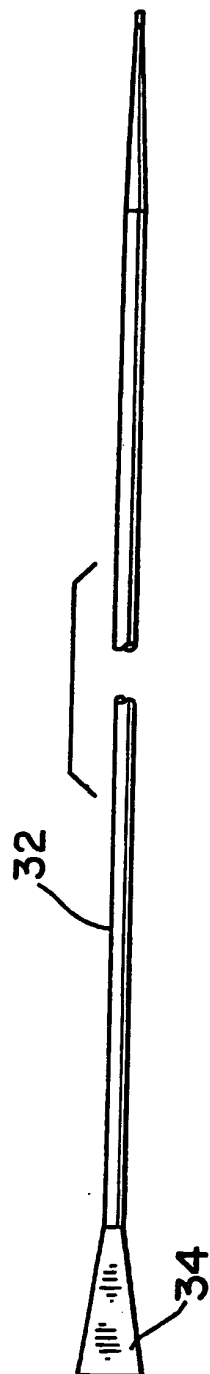


FIG. 4.

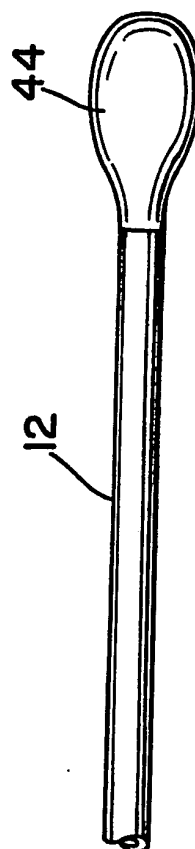


FIG. 5.

SUBSTITUTE SHEET

# INTERNATIONAL SEARCH REPORT

International Application No

PCT/US 91/03509

<b>I. CLASSIFICATION OF SUBJECT MATTER</b> (if several classification symbols apply, indicate all) <sup>6</sup> According to International Patent Classification (IPC) or to both National Classification and IPC Int.Cl. 5      A61M29/00 ;    A61M25/01																				
<b>II. FIELDS SEARCHED</b> <div style="text-align: center; margin-top: 10px;">Minimum Documentation Searched<sup>7</sup></div> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 30%; padding: 5px;">Classification Systems</td> <td style="padding: 5px;">Classification Symbols</td> </tr> <tr> <td style="padding: 5px;">Int.Cl. 5</td> <td style="padding: 5px;">A61M ;      A61B</td> </tr> </table> <div style="text-align: center; margin-top: 10px;">Documentation Searched other than Minimum Documentation to the Extent that such Documents are Included in the Fields Searched<sup>8</sup></div>			Classification Systems	Classification Symbols	Int.Cl. 5	A61M ;      A61B														
Classification Systems	Classification Symbols																			
Int.Cl. 5	A61M ;      A61B																			
<b>III. DOCUMENTS CONSIDERED TO BE RELEVANT<sup>9</sup></b> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 10%; padding: 5px;">Category<sup>9</sup></th> <th style="width: 60%; padding: 5px;">Citation of Document,<sup>11</sup> with indication, where appropriate, of the relevant passages<sup>12</sup></th> <th style="width: 30%; padding: 5px;">Relevant to Claims No.<sup>13</sup></th> </tr> </thead> <tbody> <tr> <td style="text-align: center; vertical-align: top; padding: 5px;">Y</td> <td style="padding: 5px;">US,A,3 196 876 (MILLER M.) July 27, 1965 see claim; figures 1-4 ---</td> <td style="text-align: center; vertical-align: top; padding: 5px;">1-2,4-5, 7-8</td> </tr> <tr> <td style="text-align: center; vertical-align: top; padding: 5px;">Y</td> <td style="padding: 5px;">US,A,4 388 076 (WATERS) June 14, 1983 see abstract; figures 1-5 ---</td> <td style="text-align: center; vertical-align: top; padding: 5px;">1-2,4-5, 7-8</td> </tr> <tr> <td style="text-align: center; vertical-align: top; padding: 5px;">A</td> <td style="padding: 5px;">EP,A,363 661 (ADVANCED CARDIOVASCULAR SYSTEMS INC.) April 18, 1990 see abstract; figures 2-4 see column 3, line 52 - line 54 ---</td> <td style="text-align: center; vertical-align: top; padding: 5px;">1-2</td> </tr> <tr> <td style="text-align: center; vertical-align: top; padding: 5px;">A</td> <td style="padding: 5px;">FR,A,2 290 917 (LINDEMANN) June 11, 1976 see page 4, line 19 - line 29; figures 2-3 ---</td> <td style="text-align: center; vertical-align: top; padding: 5px;">3-8</td> </tr> <tr> <td style="text-align: center; vertical-align: top; padding: 5px;">A</td> <td style="padding: 5px;">US,A,3 999 551 (SPITZ ET AL.) December 28, 1976 see column 3, line 36 - line 47; figures 2,4 ---</td> <td style="text-align: center; vertical-align: top; padding: 5px;">3,6</td> </tr> </tbody> </table>			Category <sup>9</sup>	Citation of Document, <sup>11</sup> with indication, where appropriate, of the relevant passages <sup>12</sup>	Relevant to Claims No. <sup>13</sup>	Y	US,A,3 196 876 (MILLER M.) July 27, 1965 see claim; figures 1-4 ---	1-2,4-5, 7-8	Y	US,A,4 388 076 (WATERS) June 14, 1983 see abstract; figures 1-5 ---	1-2,4-5, 7-8	A	EP,A,363 661 (ADVANCED CARDIOVASCULAR SYSTEMS INC.) April 18, 1990 see abstract; figures 2-4 see column 3, line 52 - line 54 ---	1-2	A	FR,A,2 290 917 (LINDEMANN) June 11, 1976 see page 4, line 19 - line 29; figures 2-3 ---	3-8	A	US,A,3 999 551 (SPITZ ET AL.) December 28, 1976 see column 3, line 36 - line 47; figures 2,4 ---	3,6
Category <sup>9</sup>	Citation of Document, <sup>11</sup> with indication, where appropriate, of the relevant passages <sup>12</sup>	Relevant to Claims No. <sup>13</sup>																		
Y	US,A,3 196 876 (MILLER M.) July 27, 1965 see claim; figures 1-4 ---	1-2,4-5, 7-8																		
Y	US,A,4 388 076 (WATERS) June 14, 1983 see abstract; figures 1-5 ---	1-2,4-5, 7-8																		
A	EP,A,363 661 (ADVANCED CARDIOVASCULAR SYSTEMS INC.) April 18, 1990 see abstract; figures 2-4 see column 3, line 52 - line 54 ---	1-2																		
A	FR,A,2 290 917 (LINDEMANN) June 11, 1976 see page 4, line 19 - line 29; figures 2-3 ---	3-8																		
A	US,A,3 999 551 (SPITZ ET AL.) December 28, 1976 see column 3, line 36 - line 47; figures 2,4 ---	3,6																		
<div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <p><sup>9</sup> Special categories of cited documents: <sup>10</sup></p> <p>"A" document defining the general state of the art which is not considered to be of particular relevance</p> <p>"E" earlier document but published on or after the international filing date</p> <p>"L" document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)</p> <p>"O" document referring to an oral disclosure, use, exhibition or other means</p> <p>"P" document published prior to the international filing date but later than the priority date claimed</p> </div> <div style="width: 45%;"> <p>"T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention</p> <p>"X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step</p> <p>"Y" document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art</p> <p>"&amp;" document member of the same patent family</p> </div> </div>																				
<b>IV. CERTIFICATION</b> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; padding: 5px;">           Date of the Actual Completion of the International Search  <div style="text-align: center; margin-top: 10px;">30 JULY 1991</div> </td> <td style="width: 50%; padding: 5px;">           Date of Mailing of this International Search Report  <div style="text-align: center; margin-top: 10px;">10. 09. 91</div> </td> </tr> <tr> <td style="padding: 5px;">           International Searching Authority  <div style="text-align: center; margin-top: 10px;">EUROPEAN PATENT OFFICE</div> </td> <td style="padding: 5px;">           Signature of Authorized Officer  <div style="text-align: center; margin-top: 10px;">MIR Y GUILLEN V. </div> </td> </tr> </table>			Date of the Actual Completion of the International Search <div style="text-align: center; margin-top: 10px;">30 JULY 1991</div>	Date of Mailing of this International Search Report <div style="text-align: center; margin-top: 10px;">10. 09. 91</div>	International Searching Authority <div style="text-align: center; margin-top: 10px;">EUROPEAN PATENT OFFICE</div>	Signature of Authorized Officer <div style="text-align: center; margin-top: 10px;">MIR Y GUILLEN V. </div>														
Date of the Actual Completion of the International Search <div style="text-align: center; margin-top: 10px;">30 JULY 1991</div>	Date of Mailing of this International Search Report <div style="text-align: center; margin-top: 10px;">10. 09. 91</div>																			
International Searching Authority <div style="text-align: center; margin-top: 10px;">EUROPEAN PATENT OFFICE</div>	Signature of Authorized Officer <div style="text-align: center; margin-top: 10px;">MIR Y GUILLEN V. </div>																			

**ANNEX TO THE INTERNATIONAL SEARCH REPORT  
ON INTERNATIONAL PATENT APPLICATION NO.**

PCT/US 91/03509

SA 47937

This annex lists the patent family members relating to the patent documents cited in the above-mentioned international search report.  
The members are as contained in the European Patent Office EDP file on

The European Patent Office is in no way liable for these particulars which are merely given for the purpose of information. 30/07/91

Patent document cited in search report	Publication date	Patent family member(s)		Publication date
US-A-3196876		None		
US-A-4388076	14-06-83	US-E-	RE32306	16-12-86
EP-A-363661	18-04-90	US-A-	4917102	17-04-90
		JP-A-	2191467	27-07-90
FR-A-2290917	11-06-76	DE-A-	2454351	20-05-76
		CH-A-	591254	15-09-77
		US-A-	4013079	22-03-77
US-A-3999551	28-12-76	None		

EPO FORM P0079

For more details about this annex : see Official Journal of the European Patent Office, No. 12/82